

Please type a plus sign (+) inside box → ☐

12-28-01

PTO/SB/05 (03-01)

Approved through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

UTILITY PATENT APPLICATION TRANSMITTAL

Attorney Docket No. 3441

First Inventor Williams et al.

Title METHOD AND COMPUTER SOFTWARE PRODUCT FOR
GENOMIC ALIGNMENT AND ASSESMENT OF THE
TRANSCRIPTOME

Express Mail Label No. EL675507367US

(Only for new nonprovisional applications under 37 C.F.R. 1.53(b))

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 28]
(preferred arrangement set forth below)
 - Descriptive title of the Invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 4]
5. Oath or Declaration [Total Pages 4]
 - a. ☒ Newly executed (original or copy)
 - b. ☐ Copy from a prior application (37 CFR 1.63 (d))
(for a continuation/divisional with Box 18 completed)
 - i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s)
named in the prior application, see 37 CFR
1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

ADDRESS TO:

Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or
Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
 - a. ☐ Computer Readable Form (CRF)
 - b. Specification Sequence Listing on:
 - i. ☐ CD-ROM or CD-R (2 copies); or
 - ii. ☐ paper
 - c. ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATIONS PARTS

9. ☒ Assignment Papers (cover sheet & document(s))
10. ☐ 37 C.F.R. §3.73(b) Statement ☐ Power of
(when there is an assignee) Attorney
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure ☐ Copies of IDS
Statement (IDS)/PTO-1449 Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
16. ☐ Nonpublication Request under 35 U.S.C. 122
(b)(2)(B)(i). Applicant must attach form PTO/SB/35
or its equivalent.
17. ☐ Other:

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

of prior application No: ____ /

Prior application information: Examiner ____

Group / Art Unit:

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

17. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label

22886

or ☐ Correspondence address below

(Insert Customer No. or Attach bar code label here)

Name

Address

City

State

Zip Code

Country

Telephone

Fax

Name (Print/Type)

Wei Zhou

Registration No. (Attorney/Agent)

44,419

Signature

Date

12/21/01

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

**FEE TRANSMITTAL
for FY 2002**

Patent fees are subject to annual revision.

Complete if Known

Application Number	3441
Filing Date	12/21/01
First Named Inventor	Williams
Examiner Name	TBD
Group / Art Unit	TBD
Attorney Docket No.	3441

TOTAL AMOUNT OF PAYMENT (\$) 1740

METHOD OF PAYMENT (check one)				FEE CALCULATION (continued)																																													
1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:				3. ADDITIONAL FEES																																													
Deposit Account Number: 01-0431																																																	
Deposit Account Name: Affymetrix Inc.																																																	
<input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17																																																	
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27																																																	
2. <input type="checkbox"/> Payment Enclosed:																																																	
<input type="checkbox"/> Check <input type="checkbox"/> Credit card <input type="checkbox"/> Money Order <input type="checkbox"/> Other																																																	
FEE CALCULATION																																																	
1. BASIC FILING FEE																																																	
<table><thead><tr><th>Large Fee Code</th><th>Entity Fee (\$)</th><th>Small Fee Code</th><th>Entity Fee (\$)</th><th>Fee Description</th><th>Fee Paid</th></tr></thead><tbody><tr><td>101</td><td>740</td><td>201</td><td>370</td><td>Utility filing fee</td><td>740</td></tr><tr><td>106</td><td>330</td><td>206</td><td>165</td><td>Design filing fee</td><td></td></tr><tr><td>107</td><td>510</td><td>207</td><td>255</td><td>Plant filing fee</td><td></td></tr><tr><td>108</td><td>740</td><td>208</td><td>370</td><td>Reissue filing fee</td><td></td></tr><tr><td>114</td><td>160</td><td>214</td><td>80</td><td>Provisional filing fee</td><td></td></tr><tr><td colspan="5">SUBTOTAL (1)</td><td>(\$ 740)</td></tr></tbody></table>				Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid	101	740	201	370	Utility filing fee	740	106	330	206	165	Design filing fee		107	510	207	255	Plant filing fee		108	740	208	370	Reissue filing fee		114	160	214	80	Provisional filing fee		SUBTOTAL (1)					(\$ 740)				
Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid																																												
101	740	201	370	Utility filing fee	740																																												
106	330	206	165	Design filing fee																																													
107	510	207	255	Plant filing fee																																													
108	740	208	370	Reissue filing fee																																													
114	160	214	80	Provisional filing fee																																													
SUBTOTAL (1)					(\$ 740)																																												
2. EXTRA CLAIM FEES																																																	
Total Claims: 50 -20 ** = 30 X Fee from below: 18 = Fee Paid: 540																																																	
Independent Claims: 8 -3 ** = 5 X Fee from below: 84 = Fee Paid: 420																																																	
Multiple Dependent: X Fee from below: = Fee Paid: 0																																																	
<table><thead><tr><th>Large Fee Code</th><th>Entity Fee (\$)</th><th>Small Fee Code</th><th>Entity Fee (\$)</th><th>Fee Description</th></tr></thead><tbody><tr><td>103</td><td>18</td><td>203</td><td>9</td><td>Claims in excess of 20</td></tr><tr><td>102</td><td>84</td><td>202</td><td>42</td><td>Independent claims in excess of 3</td></tr><tr><td>104</td><td>280</td><td>204</td><td>140</td><td>Multiple dependent claim, if not paid</td></tr><tr><td>109</td><td>84</td><td>209</td><td>42</td><td>** Reissue independent claims over original patent</td></tr><tr><td>110</td><td>18</td><td>210</td><td>9</td><td>** Reissue claims in excess of 20 and over original patent</td></tr><tr><td colspan="5">SUBTOTAL (2)</td><td>(\$ 960)</td></tr></tbody></table>				Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	103	18	203	9	Claims in excess of 20	102	84	202	42	Independent claims in excess of 3	104	280	204	140	Multiple dependent claim, if not paid	109	84	209	42	** Reissue independent claims over original patent	110	18	210	9	** Reissue claims in excess of 20 and over original patent	SUBTOTAL (2)					(\$ 960)										
Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description																																													
103	18	203	9	Claims in excess of 20																																													
102	84	202	42	Independent claims in excess of 3																																													
104	280	204	140	Multiple dependent claim, if not paid																																													
109	84	209	42	** Reissue independent claims over original patent																																													
110	18	210	9	** Reissue claims in excess of 20 and over original patent																																													
SUBTOTAL (2)					(\$ 960)																																												
**or number previously paid, if greater; For Reissues, see above																																																	
				505 130 205 65 Surcharge - late filing fee or oath																																													
				127 50 227 25 Surcharge - late provisional filing fee or cover sheet.																																													
				139 130 139 130 Non-English specification																																													
				147 2,520 147 2,520 For filing a request for reexamination																																													
				112 920* 112 920* Requesting publication of SIR prior to Examiner action																																													
				113 1,840* 113 1,840* Requesting publication of SIR after Examiner action																																													
				115 110 215 55 Extension for reply within first month																																													
				116 400 216 200 Extension for reply within second month																																													
				117 920 217 460 Extension for reply within third month																																													
				118 1,440 218 720 Extension for reply within fourth month																																													
				128 1,960 228 980 Extension for reply within fifth month																																													
				119 320 219 160 Notice of Appeal																																													
				120 320 220 160 Filing a brief in support of an appeal																																													
				121 280 221 140 Request for oral hearing																																													
				138 1,510 138 1,510 Petition to institute a public use proceeding																																													
				140 110 240 55 Petition to revive - unavoidable																																													
				141 1,280 241 640 Petition to revive - unintentional																																													
				142 1,280 242 640 Utility issue fee (or reissue)																																													
				143 460 243 230 Design issue fee																																													
				144 620 244 310 Plant issue fee																																													
				122 130 122 130 Petitions to the Commissioner																																													
				123 50 123 50 Processing fee under 37 CFR 1.17 (q)																																													
				126 180 126 180 Submission of Information Disclosure Stmt																																													
				581 40 581 40 Recording each patent assignment per property (times number of properties) 40																																													
				146 740 246 370 Filing a submission after final rejection (37 CFR § 1.129(a))																																													
				149 740 249 370 For each additional invention to be examined (37 CFR § 1.129(b))																																													
				179 740 279 370 Request for Continued Examination (RCE)																																													
				169 900 169 900 Request for expedited examination of a design application																																													
				Other fee (specify)																																													
				*Reduced by Basic Filing Fee Paid																																													
				SUBTOTAL (3) (\$ 40)																																													

SUBMITTED BY**Complete (if applicable)**

Name (Print/Type)	Wei Zhou	Registration No. Attorney/Agent)	44,419	Telephone	408-731-5000
Signature				Date	12/21/01

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.